

APPROVED 9/3/2002

State of Texas
Records Retention Schedule

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Automated Facsimile of SLR-105

2. AGENCY CODE: 501

3. AGENCY: TEXAS DEPARTMENT OF HEALTH

4. Records Series
Item #

5. Agency
Item #

6. Records Series Title

7. RETENTION PERIOD
Agency Storage Total

8. Sec 9. Arch 10. Med 11. Vital

12. Remarks

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|---|-----|---|------|--|------|---|---|---|---|---|--|
| 116 - FINANCIAL SERVICES DIVISION (FISCAL DIVISION) | | | | | | | | | | | |
| 1.1.007 | 580 | CORRESPONDENCE, ADMINISTRATIVE | 3 | | 3 | O | R | P | X | | |
| 1.1.008 | 581 | CORRESPONDENCE, GENERAL | 1 | | 1 | O | | O | | PAPER, ELECTRONIC | |
| 1.1.020 | 591 | APPROVED (OPEN RECORD REQUESTS) | AC+1 | | AC+1 | O | | P | | AC=DATE REQUEST FULFILLED | |
| 1.1.021 | 592 | DENIED (OPEN RECORDS REQUESTS) | AC+2 | | AC+2 | O | | P | | AC=DATE OF DENIAL OF REQUEST | |
| 1.1.024 | 611 | DATA PROCESSING PLANNING RECORDS REPORTS, STUDIES, AND ANALYSIS | AC+3 | | AC+3 | O | R | P | | ALSO RETAIN THE DATA USED IN THE STUDY OR ANALYSIS | |
| 1.1.024 | 612 | DATA PROCESSING PLANNING RECORDS - LONG AND SHORT-RANGE PLANS | AC+3 | | AC+3 | O | R | P | X | | |
| 1.1.025 | 595 | AGENCY RULES, POLICIES & PROCEDURES | US+3 | | US+3 | O | R | P | X | | |
| 1.1.038 | 600 | NON-ROUTINE OR SPECIAL REPORTS (FINAL REPORT) | AV | | AV | O | R | P | | | |
| 1.1.057 | 824 | TRANSITORY INFORMATION | AC | | AC | O | | O | | PAPER, ELECTRONIC/AC=PURPOSE OF RECORD HAS BEEN FULFILLED. | |
| 1.1.063 | 589 | MEETING MINUTES/STAFF, INCLUDES AGENDA | 1 | | 1 | O | | P | | | |
| 1.1.065 | 599 | NON-ROUTINE OR SPECIAL REPORTS (RAW DATA) | AV | | AV | O | | P | | | |
| 1.1.069 | 597 | REPORTS, EMPLOYEE | 1 | | 1 | O | | P | | | |
| 1.2.006 | 585 | RECORDS TRANSMITTAL FORM - AGENCY COPY | AC+2 | | AC+2 | O | | P | | AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER | |
| 1.2.008 | 604 | REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS(RMD 102)-AGENCY COPY | FE+3 | | FE+3 | O | | P | | | |
| 2.1.001 | 607 | PROCESSING FILES | AC | | AC | O | | P | X | AC=DOCUMENTS MUST MEET RETENTION REQUIREMENTS FOR THEIR SPECIFIC CATEGORY. | |
| 2.1.007 | 609 | PROGRAMS AND JOB CONTROL LANGUAGE | AC | | AC | O | | P | X | | |
| 2.1.009 | 608 | DOCUMENTATION (AUTOMATED APPLICATION) | AC | | AC | O | | P | X | | |

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MEDIUM CODES (Field 10)

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116 - FINANCIAL SERVICES DIVISION (FISCAL DIVISION)

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|---------|------|---|------|----|-------|---|---|---|--|--|
| 2.2.002 | 610 | COMPUTER UTILIZATION RECORDS | FE+3 | | FE+3 | O | P | | | FOR LONG-RANGE PLANS AND STUDIES. |
| 2.2.011 | 605 | BATCH/DATA ENTRY CONTROL FORMS | AV | | AV | O | P | | | |
| 2.2.012 | 606 | COMPUTER PRODUCED OUTPUT | AV | | AV | O | P | X | | |
| 3.1.001 | 821 | APPLICATIONS FOR EMPLOYMENT - NOT HIRED | 2 | | 2 | O | P | | | MAY CONTAIN CONFIDENTIAL INFORMATION |
| 3.1.014 | 829 | EMPLOYMENT SELECTION NOTES | 2 | | 2 | O | P | X | | MAY CONTAIN SOME CONFIDENTIAL INFORMATION |
| 3.1.019 | 834 | PERFORMANCE JOURNALS | 2 | | 2 | O | P | | | MAY CONTAIN CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE |
| 3.1.020 | 616 | PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS | AC+5 | | AC+5 | O | P | | | MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION |
| 3.1.035 | 602 | SURETY BONDS | AC+4 | | AC+4 | O | P | X | | |
| 3.2.001 | 621 | EMPLOYEE DEDUCTION AUTHORIZATION | AC+4 | | AC+4 | O | P | X | | |
| 3.2.002 | 622 | EMPLOYEE EARNING RECORDS | 1 | 3 | 4 | O | P | X | | 40 TAC 301.6(i) 90-501-062 |
| 3.2.002 | 3987 | EMPLOYEE EARNING RECORDS - RECORDS CREATED AFTER 1989 | FE | 4 | FE+4 | O | M | X | | RECORDS MUST BE CLOSED OUT AT THE END OF THE FISCAL YEAR. |
| 3.2.002 | 5464 | EMPLOYEE EARNING RECORDS - RECORDS CREATED PRIOR TO 1989 | FE+1 | 74 | FE+75 | O | M | X | | 95-501-188; THESE ARE HISTORICAL RECORDS AND WE NEED TO HAVE ACCESS TO ANSWER QUESTIONS FOR THE EMPLOYEES RETIREMENT SYSTEM REGARDING THE EARNINGS OF PRIOR EMPLOYEES. |
| 3.2.003 | 623 | FEDERAL TAX RECORDS INCLUDES FICA RECORDS | AC+4 | | AC+4 | O | P | X | | 26 CFR 516.6001-1 (RETENTION IS BASED FROM RETURN,PAID OR CLAIM DATA) |
| 3.2.005 | 625 | W-4 FORMS (EMPLOYERS COPY OF "EMPLOYEES" WITHHOLDING EXEMPTION CERTIFICATE" | US+4 | | US+4 | O | P | X | | 26 CFR 31.6001-5 |

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| 3.2.008 | 5028 | DIRECT DEPOSIT APPLICATION/AUTHORIZATION OR EXEMPTION FORMS | US | | US | O | | P | X | | |
| 3.2.009 | 617 | STATE DEFERRED COMPENSATION | AC+5 | | AC+5 | O | | P | X | AC=UNTIL ACCOUNT IS TOTALLY DISTRIBUTED | |
| 3.3.004 | 629 | BENEFIT PLAN | US+1 | | US+1 | O | | P | | 29 CFR 1627.3(b)(2) | |
| 3.3.011 | 635 | PERSONNEL FILES NAME,SSN, EXACT DATES OF EMPLOYMENT AND LAST KNOWN ADDRESS. | AC+75 | | AC+75 | O | | P | X | AC=TERMINATION OF EMPLOYMENT | |
| 3.4.001 | 636 | ACCUMULATED LEAVE ADJUSTMENT DOCUMENTS USED TO CREATE EMPLOYEE BALANCES,TRANSFER LEAVE,ADJUST CARRY-OVER BAL. AUG.31,TO CLOSE OUT LEAVE ON SEPARATED EMPLOYEES | FE+3 | | FE+3 * | O | | P | | | |
| 3.4.002 | 637 | LEAVE STATUS REPORT CUMULATIVE REPORT ISSUED EACH PAY CYCLE AND PROVIDES EMPLOYEES LEAVE STATUS INFORMATION FOR EACH POSITION | FE+3 | | FE+3 * | O | | P | X | | |
| 3.4.004 | 638 | OVERTIME AUTHORIZATION | 2 | | 2 | O | | P | | | |
| 3.4.005 | 639 | OVERTIME SCHEDULES | 2 | | 2 | O | | P | | | |
| 3.4.006 | 640 | TIME CARDS AND TIME SHEETS (MONTHLY) | FE+1 | 3 | FE+4 | O | | O | | PAPER, ELECTRONIC; 40 TAC815.106(i); 92-501-120; RECORDS ARE CLOSED OUT AT THE END OF THE FISCAL YEAR. | |
| 3.4.007 | 641 | TIME OFF AND/OR SICK LEAVE REQUESTS | FE+3 | | FE+3 * | O | | O | | PAPER, ELECTRONIC | |
| 4.1.002 | 2533 | VOUCHER DETAIL RUNS | FE+1 | 3 | FE+4 * | O | | P | | 90-501-067; RETENTION IS BASED ON FEDERAL GUIDELINES. | |
| 4.1.004 | 644 | ENCUMBRANCE DETAIL | FE+4 | | FE+4 * | O | | P | | RETENTION IS BASED ON FEDERAL GUIDELINES. | |
| 4.2 | 2532 | AUDITS & WARRANTS BACK-UP DOCUMENTS | FE+1 | 3 | FE+4 * | O | | P | | 90-501-066 | |
| 4.2 | 4524 | CASHIER MICROFILM | FE+3 | | FE+3 | C | | M | | IMAGES MADE AT ENDORSEMENT. MICROFILM PROCESSED AT SRC AND RETURNED TO AGENCY | |

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| 4.2. | 1821 | DEPOSIT INSTRUCTION | FE+1 | 3 | FE+4* | O | | P | | | 90-501-029 |
| 4.2.001 | 646 | CASH DEPOSIT VOUCHERS | FE+1 | 3 | FE+4 * | O | | P | | | 90-501-028; RETENTION IS BASED ON FEDERAL GUIDELINES. |
| 4.2.002 | 647 | CASH RECEIPTS | FE+3 | | FE+3 | O | | P | X | | |
| 4.2.002 | 1822 | CASH PROCESSING CONTROL RECORDS | FE | 3 | FE+3 | O | | P | X | | 90-501-027 |
| 4.2.003 | 648 | DAILY CASH RECEIPT LOG | FE+3 | | FE+3 | O | | P | | | |
| 4.2.003 | 1823 | CASH ROOM LISTING OF DAILY REMITTANCE | FE+6 MOS. | 2Y6MOS | FE+3* | O | | P | | | 90-501-030 |
| 4.2.003 | 1824 | CASH CONTROL DAILY PRINTOUTS/BACK-UP | FE+1 | 2 | FE+3* | O | | P | | | 90-501-026 |
| 4.2.003 | 2531 | CASHIER BACK-UP DOCUMENTS | FE+1 | 2 | FE+3 * | O | | P | | | 90-501-065 |
| 4.2.004 | 649 | ENCUMBRANCE VOUCHERS | FE+4 | | FE+4 * | O | | P | | | RETENTION BASED ON FEDERAL GUIDELINES. |
| 4.2.005 | 2073 | PURCHASE ORDERS | FE+1 | 3 | FE+4 | O | | P | | | |
| 4.2.005 | 2357 | DOCUMENTS OF ORIGINAL ENTRY | FE+1 | 2 | FE+3 * | O | | P | | | LETTER AND LEGAL SIZE CASH RECEIPTS |
| 4.2.006 | 651 | GENERAL JOURNAL VOUCHERS | FE+3 | | FE+3 * | O | | P | | | |
| 4.2.007 | 650 | EXPENDITURE VOUCHERS | FE+1 | 3 | FE+4 * | O | | P | | | 90-501-063; RETENTION BASED ON FEDERAL GUIDELINES |
| 4.2.007 | 1209 | EXPENDITURE VOUCHERS - IMAGED (F,M,T,A) | FE | 4 | FE+4 | O | | E | | | (SEE AGENCY ITEM #650) PAPER COPIES WILL BE DESTROYED AFTER CD IMAGE IS VERIFIED. BACKUP CD'S ARE KEPT AT WINTERS BUILDING. RETENTION IS BASED ON FEDERAL GUIDELINES. |
| 4.3 | 3898 | JOURNALS & REGISTERS (O/S VOUCHER REP. K11091,DAILY ESP. & ENC. SUMMARIES K11092, ACCOUNTING TRANS. COUNT, REQ. JOURNAL REG., REQ. REG. VOUCHER ADJ. REG., BACK-OUT REG.) | FE+1 | 3 | FE+4* | O | | P | | | 91-501-077 |
| 4.3.001 | 652 | SALES (ENCUMBRANCE AND CASH JOURNALS) | FE+3 | | FE+3 * | O | | P | X | | |

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| 4.3.002 | 653 | RECEIPTS (JOURNALS AND REGISTERS) | FE+3 | | FE+3 * | O | | P | X | |
| 4.3.003 | 654 | EXPENDITURES (JOURNALS AND REGISTERS) | FE+3 | | FE+3 * | O | | P | X | |
| 4.3.003 | 1825 | VOUCHER REGISTERS | FE+1 | 2 | FE+3* | O | | P | | 90-501-025 |
| 4.3.003 | 1826 | WARRANT REGISTERS | FE+1 | 2 | FE+3* | O | | P | | 90-501-024 |
| 4.4.001 | 655 | LEDGERS, GENERAL | FE | 3 | FE+3 * | O | | P | X | 02-501-335 |
| 4.4.003 | 656 | ACCOUNTS PAYABLE | FE+3 | | FE+3 * | O | | P | | |
| 4.4.004 | 657 | EMPLOYEES SAVING BONDS | FE+3 | | FE+3 * | O | | P | X | |
| 4.5.001 | 658 | WORKSHEETS FOR PREPARING REPORTS | FE+1 | 2 | FE+3 * | O | | P | | 90-501-064 |
| 4.5.001 | 1827 | ANNUAL REPORT WORKPAPERS | FE+1 | 2 | FE+3* | O | | P | | 90-501-022 |
| 4.5.002 | 659 | INTERNAL FISCAL MANAGEMENT REPORTS | FE+1 | 2 | FE+3 * | O | | P | | INCLUDES MEDICAID JOURNAL VOUCHER REPORTS AND MEDICAID FEDERAL FUNDS DISTRIBUTION REPORTS |
| 4.5.002 | 2534 | PAYROLL REPORTS | FE+1 | 2 | FE+3 * | O | | P | | 90-501-068 |
| 4.5.003 | 660 | ANNUAL FINANCIAL REPORT REQUIRED BY THE GENERAL APPROPRIATIONS ACT | AC+6 | | AC+6 | O | | P | | |
| 4.5.005 | 661 | EXTERNAL MANAGEMENT REPORTS | FE+3 | | FE+3 * | O | | P | | |
| 4.6 | 3899 | JOURNALS & LEDGERS MONTHLY PRINT- OUTS/REPORTS (VENDOR NO., AGING SCH REPTS., ENC. K11082, REF. VOUCHER EXP. BY FUND, CUM. EXP., CASH SUM RECONC. WITH COMP., K11112) | FE+1 | 3 | FE+4* | O | | C | | 91-501-078 |
| 4.6.001 | 662 | MONTHLY BALANCING | FE+3 | | FE+3 * | O | | P | | |
| 4.6.001 | 1828 | MONTHLY SUMMARIES | FE+1 | 2 | FE+3* | O | | P | | 90-501-056 |
| 4.6.002 | 663 | RECONCILIATIONS | FE+3 | | FE+3 * | O | | P | | |

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| 4.6.003 | 664 | CASH COUNT | FE+3 | | FE+3 * | O | | P | | | |
| 4.7.001 | 666 | ACCOUNTING POLICIES AND PROCEDURES | US+3 | | US+3 * | O | | P | X | | |
| 4.7.005 | 668 | CLAIMS FILES (FISCAL) | AC | 3 | AC+3 | O | | P | X | 97-501-225/AC=RESOLUTION OF CLAIM | |
| 4.7.006 | 669 | COMPTROLLER STATEMENTS | FE+3 | | FE+3 * | O | | P | | | |
| 4.7.006 | 1829 | PRINTOUTS/REPORTS FROM COMPTROLLER | FE+1 | 2 | FE+3* | O | | P | | 90-501-023 | |
| 4.7.007 | 670 | CHART OF ACCOUNTS | FE+3 | | FE+3 * | O | | P | | | |
| 5.1.001 | 673 | CONTRACTS AND LEASES (PERFORMANCE BONDS) | AC+4 | | AC+4 * | O | | P | X | | |
| 5.1.015 | 582 | CORRESPONDENCE LOG BOOKS | 1 | | 1 | O | | P | | | |
| 5.1.015 | 674 | CORRESPONDENCE TRACKING RECORDS | 1 | | 1 | O | | P | | | |
| 5.2.010 | 677 | EQUIPMENT MANUALS & WARRANTIES | LA | | LA | O | | P | X | | |
| 5.2.017 | 678 | LOST AND STOLEN PROPERTY | FE+3 | | FE+3 | O | | P | | | |
| 5.2.021 | 681 | SALE OF SURPLUS PROPERTY | FE+3 | | FE+3 * | O | | P | | | |
| 5.3 | 1348 | PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION | FE+4 | | FE+4 | O | | P | | | |
| 5.3.008 | 1686 | PROCUREMENT CARD LOGS | FE+3 | | FE+3 | O | | P | | | |
| 5.4.001 | 620 | ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION | CE+5 | | CE+5 | O | | P | X | 29 CFR 1904.6 | |
| 5.4.012 | 630 | SECURITY ACCESS RECORDS | AC+2 | | AC+2 | O | | P | X | | |

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